

3125
10-17-01
K. Penell

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Nicholas Frattalone

Examiner: N/A

Application No.: N/A

Group Art Unit: N/A

Filed: **Herewith**S&L Docket No.: **P24256-B USA**For: **METHOD AND SYSTEM FOR
IMPLEMENTING A COMBINED
INVESTMENT**Box Patent Application
Commissioner for Patents
Washington, DC 20231**INFORMATION DISCLOSURE STATEMENT**

Sir:

This Information Disclosure Statement accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).

Forwarded herewith is Form PTO-1449 (Modified) listing patents, publications or other information ("documents") believed to be relevant to the subject application. It is respectfully requested that these documents be considered by the Examiner and an initialed copy of each Form PTO-1449 be returned to the undersigned. Copies of the documents listed on PTO-1449 (Modified) are supplied herewith.

It is believed that this disclosure complies with the requirements of 37 C.F.R. subsections 1.56, 1.97, 1.98 and the Manual of Patent Examining Procedure § 609. If for some reason the Examiner considers otherwise, it is respectfully requested that the undersigned be called so that any deficiencies can be remedied.

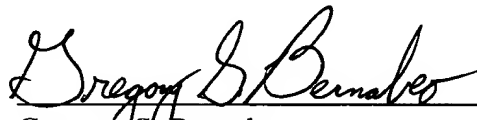
REMARKS REGARDING CITED ART

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists.

Respectfully submitted,

Dated: August 6, 2001


Gregory S. Bernabeo
Registration No. 44,032

Synnestvedt & Lechner LLP
2600 Aramark Tower
1101 Market Street
Philadelphia, PA 19107-2950
Telephone: 215-923-4466
Facsimile: 215-923-2189

EXPRESS MAIL LABEL 27291855DA
INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

Docket Number (Optional)

P24256-B USA

Application Number

N/A

Applicant(s)

N. Frattalone

Filing Date

Herewith

Group Art Unit

N/A



U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|-----|-----------------|------------|-----------------|---------|----------|-------------------------------|
| | AA | 4,346,442 | 08/24/1982 | Musmanno | 364 705 | 408 36 | 07/29/1980 |
| | AB | 4,376,978 | 03/15/1983 | Musmanno | 364 705 | 408 36 | 10/22/1980 |
| | AC | 4,597,046 | 06/24/1986 | Musmanno et al. | 364 705 | 408 36 | 09/30/1982 |
| | AD | 4,774,663 | 09/27/1988 | Musmanno et al. | 364 705 | 408 36 | 11/21/1983 |
| | AE | 4,876,648 | 10/24/1989 | Lloyd | 364 705 | 408 38 | 01/12/1988 |
| | AF | 4,953,085 | 08/28/1990 | Atkins | 364 705 | 408 36 | 04/15/1987 |
| | AG | 5,644,726 | 07/01/1997 | Oppenheimer | 395 705 | 238 38 | 03/19/1990 |
| | AH | 5,689,649 | 11/18/1997 | Altman et al. | 395 705 | 238 36 | 03/01/1991 |
| | AI | 5,812,987 | 09/22/1998 | Luskin et al. | 705 | 36 | 03/13/1995 |
| | AJ | 5,884,285 | 03/16/1999 | Atkins | 705 | 36 | 01/16/1992 |
| | AK | 5,911,136 | 06/08/1999 | Atkins | 705 | 36 | 03/26/1997 |

FOREIGN PATENT DOCUMENTS

| REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
|-----|-----------------|------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| | |
|--|--|
| | |
| | |

EXAMINER

E. Colbert

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

INFORMATION DISCLOSURE CITATION
(Use several sheets if necessary)

ATTY DOCKET NO.
P24256-B USA

SERIAL NO.
N/A

APPLICANT(S)
N. Frattalone

FILING DATE
Herewith

GROUP
N/A

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|----|-----------------|------------|---------------|-------|----------|-------------------------------|
| | AL | 5,950,175 | 09/07/1999 | Austin | 705 | 35 | 10/14/1994 |
| | AM | 6,018,722 | 01/25/2000 | Ray et al | 705 | 36 | 06/19/1997 |
| | AN | 6,021,397 | 02/01/2000 | Jones et al. | 705 | 36 | 12/02/1997 |
| | AO | 6,055,517 | 04/25/2000 | Friend et al. | 705 | 36 | 01/30/1998 |
| | AP | 6,070,151 | 05/30/2000 | Frankel | 705 | 35 | 11/29/1995 |
| | AQ | 6,122,623 | 09/19/2000 | Garman | 705 | 36 | 07/02/1998 |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|--|--|-----------------|------|---------|-------|----------|-------------|----|
| | | | | | | | YES | NO |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | | |
|--|--|--|---|
| | | | "Securities-Based Financing," Merrill Lynch Business Center, 3 pp. excerpted from http://www.businesscenter.ml.com |
| | | | |

EXAMINER

E. Colbert

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.